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PATENTS ONLY

U. S. DEPARTMENT OF COMMERCE  
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To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party (ies)

Geoffrey Lindsay,  
Peter Zarra,  
John Stenger-Smith

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

3. Nature of conveyance:

- ☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other

Execution Date:

2. Name and address of receiving party (ies)

Name: Secretary of the Navy as Represented by  
The United States of America

Internal Address:

Chief of Naval Research,  
Office of Counsel, Code 00CC

Street Address: Ballston Tower One

800 N. Quincy Street

City: Arlington State: VA Zip: 22217-5660

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No. (s)

Navy Case No. 84887  
Serial No. 10/615,460

B. Patent No. (s)

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Charlene A. Haley

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Street Address:

1 Administration Circle Stop 1009

City: State: CA Zip:

China Lake

93555-6100

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41) ..... \$40.00

☐ Enclosed

☒ Authorized to be charged to deposit

8. Deposit account number:

50-0931

DO NOT USE THIS SPACE

9. Signature

Charlene A. Haley 52,983

Name of Person Signing

  
Signature

30 Oct 2003

Date

Total number of pages including cover sheet, attachments, and documents: 4

ASSIGNMENT

WHEREAS, we, Geoff Andrew Lindsay, Peter Zarras and John D. Stenger-Smith, all of Ridgecrest, California, while employed by the Government of the United States, have invented certain new and useful improvements in:

**ELECTRO-OPTIC POLYMERS WITH TUNABLE REFRACTIVE INDEX FOR OPTICAL WAVEGUIDES**

identified as Navy Case No. 84887, described in application for Letters Patent of the United States of America executed by us on October 30, 2003; and

WHEREAS, the Government of the United States, represented by the Secretary of the Navy and hereinafter referred to as the Government, is desirous of acquiring an assignment of the invention disclosed in said application and other rights and benefits herein granted; and

WHEREAS, the conditions under which the invention was made are such as to entitle the Government under Paragraph 1(a) of Executive Order 10096, to the entire right, title and interest therein, including foreign rights; and

WHEREAS, as to foreign rights, it is the policy of the Government to obtain an option to exercise such rights;

NOW, THEREFORE, in consideration of the promises and other good and valuable consideration the receipt of which is hereby acknowledged, we hereby assign and transfer to the Government the entire right, title and interest in and to said invention within the United States of America, its territories and possessions, and the entire right, title and interest in and to said application and any continuation, division or substitution thereof, and such Letters Patent to be held by the Government to the end of the term for which said Letters Patent may be granted, as fully and entirely as the same would have been held by us had this assignment not been made.

We do hereby also grant unto the Government, the option to take the entire right, title and interest in the invention and all patent applications or other forms of protection thereon in all countries foreign to the United States in which the Government may file, or cause to be filed, applications for Letter Patent or other forms of protection, without payment of any consideration; provided, however that this grant of an option to take foreign rights in the invention, or applications or other forms of protection thereon, shall have force and effect only as to such applications filed in foreign countries within eight months of the filing date of any application for United States Letter Patent covering the invention, or within eight months from the declassification of the invention, whichever is later, and that all foreign rights exercised under the option are left to us subject to a nonexclusive, irrevocable, royalty-free license to the Government in any patent or other form of protection which may issue on said invention in any foreign country, including the power to issue sublicenses for use in behalf of the Government and/or in furtherance of the foreign policies of the Government.

We hereby further agree to make, execute, and deliver to the Government, any and all papers, documents, affidavits, statements, or other instruments that may be necessary in the prosecution of the application and of any continuation, division or substitution of the application, or any application for reissue or extension of said Letters Patent, and to assist the Government in every way in protecting the invention as may be requested, provided that any expense arising through such efforts will be paid by the Government.

IN TESTIMONY WHEREOF, we have set our hand and affixed our seal.

  
\_\_\_\_\_  
Geoff A. Lindsay

  
\_\_\_\_\_  
Peter Zarras

  
\_\_\_\_\_  
John D. Stenger-Smith

Date 10/30/2003

Date 10/30/2003

Date 10/30/2003

Navy Case No. 84887

**Declaration and Power of Attorney for Patent Application**

As below named inventor, I hereby declare that:

My residence, post office address, and citizenship are as stated below next to my name.

I believe I am one of the original, first, and joint inventors of the subject matter which is claimed and for which a patent sought on the invention entitled:

**ELECTRO-OPTIC POLYMERS WITH TUNABLE REFRACTIVE INDEX FOR OPTICAL WAVEGUIDES**

the specification of which is being filed in this Application.

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, § 1.56(a).

**POWER OF ATTORNEY:** As one of the named inventors, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith and hereby certify that the Government of the United States has the irrevocable right to prosecute this application:

Charlene A. Haley  
Registration No. 52,983

SEND CORRESPONDENCE TO:  
NAVAL AIR WARFARE CENTER, COMMANDER  
K00000D, OFFICE OF COUNSEL  
1 ADMINISTRATION CIRCLE  
CHINA LAKE, CA 93555-6001

DIRECT TELEPHONE CALLS TO:  
Charlene A. Haley  
Assistant Counsel  
(760) 939-4177

I hereby declare that all statements made herein are of my own knowledge, are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of inventor: Geoffrey Andrew Lindsay  
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Citizenship: USA

Inventor's signature [Signature]  
GEOFFREY ANDREW LINDSAY

Date 10/30/2003

Full name of inventor: Peter Zarras  
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Citizenship: USA

Inventor's signature [Signature]  
PETER ZARRAS

Date 10/30/2003

Full name of inventor: John D. Stenger-Smith  
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Inventor's signature [Signature]  
JOHN D. STENGER-SMITH

Date 10/30/2003